



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Stuart Lee Breslow et al. Group Art Unit: 2768
Serial No.: 09/476,448 Examiner: Not yet Assigned
Filed: December 30, 1999
For: **ON-LINE TRADING SYSTEM**

RECEIVED

Hon. Commissioner of Patents and Trademarks
Washington, DC 20231

APR 05 2000

Group 2700

Sir:

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97(b)**

In accordance with the duty of disclosure under 37 CFR. §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO-1449 Form. The Examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. A copy of each of the documents is enclosed for convenience of the Examiner.

In addition to the patents enclosed herein, applicants enclose literature regarding the following Internet sites which may be relevant to the subject application.

(1) *www.daytradingstocks.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(2) *www.wetrade.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(3) *www.ameritrade.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and account management.

(4) *www.schwab.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(5) *www.datek.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(6) *www.daytradersnet.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(7) *www.lombard.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(8) *www.fidelity.com* is a HTML-based Internet site that offers online trading of stocks account management.

(9) *www.suretrade.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(10) *www.tradingdirect.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(11) *www.americanexpress.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(12) *www.dljdirect.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(13) *www.jhdarbie.com* is a HTML-based Internet site that offers online trading of stocks and account management.

(14) *www.beseen.com/stocks/brokers.html* is a HTML-based Internet site that offers a list of online brokers that provide discount services to traders.

(15) *www.accutrade.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(16) *www.rapidtrade.com* is a HTML-based Internet site that offers online trading of stocks.

(17) *www.sec.gov/consumer/jneton.htm* is a stock information web site.

(18) *www.stockinfo.standardpoor.com* is a stock information web site.

The submission of the listed documents is not intended as an admission that any of the documents constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 50-0444.

Respectfully submitted,

Leslie Gladstone Restaino
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Enclosures

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Dated: March 29, 2000

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GP 2768

PTO/SB/21 (6-98)

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/476,448
Filing Date	December 30, 1999
First Named Inventor	Stuart Lee Breslow et al.
Group Art Unit	2768
Examiner Name	Not yet Assigned
Attorney Docket Number	4034-46

ENCLOSURES (check all that apply) Fee Transmittal Form Fee Attached Amendment/Response**RECEIVED**APR 05 2000
 After Final
 Affidavits/declaration(s)**Group 2700** Extension of Time Request Express Abandonment Request Information Disclosure Statement
Form PTO-1449
27 References Certified Copy of Priority
Document(s) Response to Missing Parts/
Incomplete Application
 Response to Missing Parts
under 37 CFR 1.52 or 1.53 Assignment Papers
(for an Application) Drawing(s) - ___ Sheets Licensing-related Papers Petition Routing Slip (PTO/SB/69)
and Accompanying Petition Petition to Convert to a
Provisional Application Power of Attorney, Revocation
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to Group Appeal Communication to Board
of Appeals and Interferences Appeal Communication Group
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm or
Individual name **Leslie Gladstone Restaino, Reg. No. 38,893**

Signature

Date **March 29, 2000****CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date **03/29/2000**Type or printed name **Angela L. Gehring**

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